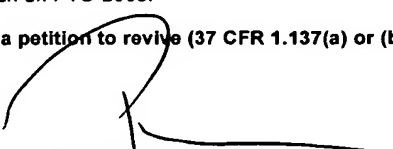


Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER ETH 110 U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/511121
INTERNATIONAL APPLICATION NO. PCT/US03/11868	INTERNATIONAL FILING DATE 15 April 2003	PRIORITY DATE CLAIMED 16 April 2002
TITLE OF INVENTION ENVIRONMENTALLY COMPATIBLE ADDITIVES FOR AQUEOUS LUBRICANTS		
APPLICANT(S) FOR DO/EO/US Nicholas D. SPENCER and Seunghwan LEE		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). 		
Items 11 to 20 below concern document(s) or information included:		
<ol style="list-style-type: none"> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A preliminary amendment. 14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: Copies of the corrected version of the published application and International Search Report 		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 1.5em; font-weight: bold;">10/511121</div>		INTERNATIONAL APPLICATION NO. PCT/US03/11868		ATTORNEY'S DOCKET NUMBER ETH 110					
21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....\$1110.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO\$950.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$790.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)\$750.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)\$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">CALCULATIONS</th> <th style="width: 50%;">PTO USE ONLY</th> </tr> <tr> <td style="height: 150px; vertical-align: bottom;">\$ 750</td> <td></td> </tr> </table>		CALCULATIONS	PTO USE ONLY	\$ 750	
CALCULATIONS	PTO USE ONLY								
\$ 750									
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$					
Total claims	15 - 20 =	0	X \$18.00	\$					
Independent claims	4 - 3 =	1	X \$88.00	\$ 88					
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$300.00	\$					
TOTAL OF ABOVE CALCULATIONS =				\$ 838					
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ -419					
SUBTOTAL =				\$ 419					
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$					
TOTAL NATIONAL FEE =				\$ 419					
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$					
TOTAL FEES ENCLOSED =				\$ 419					
				Amount to be refunded:	\$				
				Amount to be charged:	\$				
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>50-3129</u> in the amount of \$ <u>419.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>50-3129</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.									
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.									
SEND ALL CORRESPONDENCE TO: Patrea L. Pabst, Esq. Pabst Patent Group LLP 400 Colony Square, Suite 1200 1201 Peachtree Street Atlanta, GA 30361 (404) 879-2151 Telephone (404) 879-2160 Telefax									
				SIGNATURE  Patrea L. Pabst NAME 31,284 REGISTRATION NUMBER					

**IN THE UNITED STATES RECEIVING OFFICE FOR THE
PATENT COOPERATION TREATY**

Applicants: Nicholas D. Spencer and Seunghwan Lee

International Application No: PCT/US03/11868
International Filing Date: April 15, 2003

U.S. Serial No:
Filed: October 12, 2004

Express Mail Label No: EV487330905US
Date of Deposit: October 12, 2004

For: Environmentally Compatible Additives for Aqueous Lubricants

MAIL STOP PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**EXPRESS MAIL TRANSMITTAL LETTER
FOR PATENT APPLICATION AND CERTIFICATE OF MAILING**

Sir:

Pursuant to 35 U.S.C. § 371 and 37 C.F.R. § 1.10, applicants enclose a Transmittal Letter to the United States Designated/Elected Office (DO/EO/US), a copy of the corrected version of published International Application No. PCT/US03/11868 entitled "*Environmentally Compatible Additives for Aqueous Lubricants*", filed in the United States Receiving Office for the PCT on April 15, 2003, which claims priority to U.S. Serial No. 60/363,161 filed April 16, 2002, a copy of the published International Search Report, an Application Data Sheet, an unexecuted Declaration for Patent Application, and authorization to charge our Deposit Account No. 50-3129 in the amount of \$419.00 which represents the filing fee under 37 C.F.R. § 1.492(a)(1)-(5) for a small entity.

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 50-3129.

This application is being filed on October 12, 2004, by mailing the Transmittal Letter to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 via the United States Postal Service "Express Mail Post Office to Addressee" Service under

10/511121
DT04 Rec'd PCT/PTO 12 OCT 2004

International Application No.: PCT/US03/11868
International Filing Date: April 15, 2003
**EXPRESS MAIL TRANSMITTAL LETTER FOR
PATENT APPLICATION AND CERTIFICATE OF MAILING**
Express Mail Label No.: EV487330905US
Date of Deposit: October 12, 2004

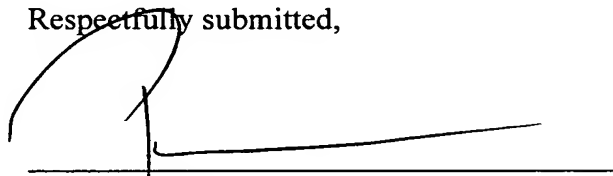
37 C.F.R. § 1.10. The Express Mail label number appears in the heading of this paper which is attached to the Transmittal Letter.

All correspondence concerning this application should be mailed to:

**Customer No. 23579
Patrea L. Pabst, Esq.
PABST PATENT GROUP LLP
400 Colony Square, Suite 1200
1201 Peachtree Street
Atlanta, Georgia 30361**

**(404) 879-2151 (Telephone)
(404) 879-2160 (Fax)**

Respectfully submitted,



Patrea L. Pabst
Registration No. 31,284

Date: October 12, 2004

Patrea L. Pabst, Esq.
PABST PATENT GROUP LLP
400 Colony Square, Suite 1200
1201 Peachtree Street
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(404) 879-2151 (Telephone)
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International Application No.: PCT/US03/11868
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**EXPRESS MAIL TRANSMITTAL LETTER FOR
PATENT APPLICATION AND CERTIFICATE OF MAILING**
Express Mail Label No.: EV487330905US
Date of Deposit: October 12, 2004

10/511121
DT04 Rec'd PCT/PTO 12 OCT 2004

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10

I hereby certify that this Express Mail Transmittal Letter for Patent Application and any documents referred to as attached therein are being deposited with the United States Postal Service on this date, October 12, 2004, in an envelope as "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Number EV487330905US addressed to MAIL STOP PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: October 12, 2004

Chandra Russell
Chandra Russell

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